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PTO/SB/05 (08-00)

Approved for use through 10/31/2002. OMB 0651-0032

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<b>UTILITY PATENT APPLICATION TRANSMITTAL</b>  (Only for new nonprovisional applications under 37 CFR 1.53(b))	<b>Attorney Docket No.</b>	NFC1P027
	<b>First Inventor</b>	William B. CHAPMAN
	<b>Title</b>	METHOD AND APPARATUS FOR TUNING A LASER
	<b>Express Mail Label No.</b>	EF 397446131 US

<b>APPLICATION ELEMENTS</b> <i>See MPEP chapter 600 concerning utility patent application contents.</i>	<b>ADDRESS TO:</b> Assistant Commissioner for Patents Box Patent Application Washington, DC 20231
1. <input checked="" type="checkbox"/> Fee Transmittal Form (e.g., PTO/SB/17) <i>(Submit an original and a duplicate for fee processing)</i>	7. <input type="checkbox"/> CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix)
2. <input type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27.	8. Nucleotide and/or Amino Acid Sequence Submission <i>(if applicable, all necessary)</i>
3. <input checked="" type="checkbox"/> Specification [Total Pages 36] <i>(preferred arrangement set forth below)</i> <ul style="list-style-type: none"><li>- Descriptive title of the invention</li><li>- Cross Reference to Related Applications</li><li>- Statement Regarding Fed sponsored R &amp; D</li><li>- Reference to sequence listing, a table, or a computer program listing appendix</li><li>- Background of the Invention</li><li>- Brief Summary of the Invention</li><li>- Brief Description of the Drawings <i>(if filed)</i></li><li>- Detailed Description</li><li>- Claim(s)</li><li>- Abstract of the Disclosure</li></ul>	a. <input type="checkbox"/> Computer Readable Form (CRF)
4. <input checked="" type="checkbox"/> Drawing(s) (35 U.S.C. 113) [Total Sheets 8] FIGS 1-6	b. Specification Sequence Listing on: <ul style="list-style-type: none"><li>i. <input type="checkbox"/> CD-ROM or CD-R (2 copies); or</li><li>ii. <input type="checkbox"/> paper</li></ul>
5. Oath or Declaration [Total Pages 3] <ul style="list-style-type: none"><li>a. <input checked="" type="checkbox"/> Newly executed (original or copy)</li><li>b. <input type="checkbox"/> Copy from a prior application (37 CFR 1.63 (d)) <i>(for continuation/divisional with Box 17 completed)</i><ul style="list-style-type: none"><li>i. <input type="checkbox"/> <b>DELETION OF INVENTOR(S)</b> Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b).</li></ul></li></ul>	c. <input type="checkbox"/> Statements verifying identity of above copies
6. <input type="checkbox"/> Application Data Sheet. See 37 CFR 1.76	<b>ACCOMPANYING APPLICATION PARTS</b>
	9. <input checked="" type="checkbox"/> Assignment Papers (cover sheet & document(s))
	10. <input type="checkbox"/> 37 CFR 3.73(b) Statement <input type="checkbox"/> Power of Attorney <i>(when there is an assignee)</i>
	11. <input type="checkbox"/> English Translation Document <i>(if applicable)</i>
	12. <input checked="" type="checkbox"/> Information Disclosure Statement (IDS)/PTO-1449 [5] Copies of IDS Citations
	13. <input type="checkbox"/> Preliminary Amendment
	14. <input checked="" type="checkbox"/> Return Receipt Postcard (MPEP 503) <i>(Should be specifically itemized)</i>
	15. <input type="checkbox"/> Certified Copy of Priority Document(s) <i>(if foreign priority is claimed)</i>
	16. <input checked="" type="checkbox"/> Other: 1- Check for \$876.00 1- Request and Certification Under 35 USC 122(b)(2)(B)(i)

17. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76.

☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP)

of prior application No. \_\_\_\_\_

Prior application information

Examiner \_\_\_\_\_

Group / Art Unit \_\_\_\_\_

For CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

## 18. CORRESPONDENCE ADDRESS

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or ☒ Correspondence address below

Name	CARY & KELLY, LLP					
	ATTN: Charles C. Cary					
Address	1875 Charleston Road					
City	Mountain View	State	California	Zip Code	94043	
Country	United States	Telephone	(650) 316-4011	Fax	(650) 316-4013	

Name (Print/Type)	Charles C. Cary	Registration No. (Attorney/Agent)	36,764
Signature		Date	May 4, 2001

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<h1 style="margin: 0;">FEE TRANSMITTAL</h1> <h2 style="margin: 0;">for FY 2001</h2> <p style="font-size: small; margin: 5px 0;">Patent fees are subject to annual revision.</p>		<b>Complete if Known</b>													
<b>TOTAL AMOUNT OF PAYMENT</b>		(\$) 876	<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 50%;">Application Number</td> <td>NOT YET ASSIGNED</td> </tr> <tr> <td>Filing Date</td> <td>May 4, 2001</td> </tr> <tr> <td>First Named Inventor</td> <td>CHAPMAN, William B.</td> </tr> <tr> <td>Examiner Name</td> <td>N/A</td> </tr> <tr> <td>Group Art Unit</td> <td>N/A</td> </tr> <tr> <td>Attorney Docket No.</td> <td>NFC1P027</td> </tr> </table>	Application Number	NOT YET ASSIGNED	Filing Date	May 4, 2001	First Named Inventor	CHAPMAN, William B.	Examiner Name	N/A	Group Art Unit	N/A	Attorney Docket No.	NFC1P027
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<h3 style="text-align: center; margin: 0;">METHOD OF PAYMENT</h3> <p>1. <input checked="" type="checkbox"/> The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to:</p> <p>Deposit Account Number: 50-1338</p> <p>Deposit Account Name: CARY &amp; KELLY, LLP</p> <p><input checked="" type="checkbox"/> Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17</p> <p><input type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27</p> <p>2. <input checked="" type="checkbox"/> Payment Enclosed:</p> <p><input checked="" type="checkbox"/> Check <input type="checkbox"/> Credit card <input type="checkbox"/> Money Order <input type="checkbox"/> Other</p>	<h3 style="text-align: center; margin: 0;">FEE CALCULATION (continued)</h3> <h4 style="margin: 0;">3. ADDITIONAL FEES</h4> <table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th>Large Entity Fee Code</th> <th>Small Entity Fee Code</th> <th>Fee Description</th> <th>Fee Paid</th> </tr> </thead> <tbody> <tr><td>105 130</td><td>205 65</td><td>Surcharge - late filing fee or oath</td><td>\$0</td></tr> <tr><td>127 50</td><td>227 25</td><td>Surcharge - late provisional filing fee or cover sheet</td><td>\$0</td></tr> <tr><td>139 130</td><td>139 130</td><td>Non-English specification</td><td>\$0</td></tr> <tr><td>147 2,520</td><td>147 2,520</td><td>For filing a request for ex parte reexamination</td><td>\$0</td></tr> <tr><td>112 920*</td><td>112 920*</td><td>Requesting publication of SIR prior to Examiner action</td><td>\$0</td></tr> <tr><td>113 1,840*</td><td>113 1,840*</td><td>Requesting publication of SIR after Examiner action</td><td>\$0</td></tr> <tr><td>115 110</td><td>215 55</td><td>Extension for reply within first month</td><td>\$0</td></tr> <tr><td>116 390</td><td>216 195</td><td>Extension for reply within second month</td><td>\$0</td></tr> <tr><td>117 890</td><td>217 445</td><td>Extension for reply within third month</td><td>\$0</td></tr> <tr><td>118 1,390</td><td>218 695</td><td>Extension for reply within fourth month</td><td>\$0</td></tr> <tr><td>128 1,890</td><td>228 945</td><td>Extension for reply within fifth month</td><td>\$0</td></tr> <tr><td>119 310</td><td>219 155</td><td>Notice of Appeal</td><td>\$0</td></tr> <tr><td>120 310</td><td>220 155</td><td>Filing a brief in support of an appeal</td><td>\$0</td></tr> <tr><td>121 270</td><td>221 135</td><td>Request for oral hearing</td><td>\$0</td></tr> <tr><td>138 1,510</td><td>138 1,510</td><td>Petition to institute a public use proceeding</td><td>\$0</td></tr> <tr><td>140 110</td><td>240 55</td><td>Petition to revive - unavoidable</td><td>\$0</td></tr> <tr><td>141 1,240</td><td>241 620</td><td>Petition to revive - unintentional</td><td>\$0</td></tr> <tr><td>142 1,240</td><td>242 620</td><td>Utility issue fee (or reissue)</td><td>\$0</td></tr> <tr><td>143 440</td><td>243 220</td><td>Design issue fee</td><td>\$0</td></tr> <tr><td>144 600</td><td>244 300</td><td>Plant issue fee</td><td>\$0</td></tr> <tr><td>122 130</td><td>122 130</td><td>Petitions to the Commissioner</td><td>\$0</td></tr> <tr><td>123 50</td><td>123 50</td><td>Petitions related to provisional applications</td><td>\$0</td></tr> <tr><td>126 240</td><td>126 240</td><td>Submission of Information Disclosure Stmt</td><td>\$0</td></tr> <tr><td>581 40</td><td>581 40</td><td>Recording each patent assignment per property (times number of properties)</td><td>\$40</td></tr> <tr><td>146 710</td><td>246 355</td><td>Filing a submission after final rejection (37 CFR § 1.129(a))</td><td>\$0</td></tr> <tr><td>149 710</td><td>249 355</td><td>For each additional invention to be examined (37 CFR § 1.129(b))</td><td>\$0</td></tr> <tr><td>179 710</td><td>279 355</td><td>Request for Continued Examination (RCE)</td><td>\$0</td></tr> <tr><td>169 900</td><td>169 900</td><td>Request for expedited examination of a design application</td><td>\$0</td></tr> <tr><td colspan="3">Other fee (specify) _____</td><td>\$0</td></tr> <tr> <td colspan="3" style="text-align: right;"><b>Reduction by Basic Filing Fee Paid</b></td> <td><b>SUBTOTAL (3)</b> (\$)</td> </tr> <tr> <td colspan="3"></td> <td>40</td> </tr> </tbody> </table>	Large Entity Fee Code	Small Entity Fee Code	Fee Description	Fee Paid	105 130	205 65	Surcharge - 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<b>SUBMITTED BY</b>		<b>Complete (if applicable)</b>	
Name (Print/Type)	Charles C. Cary	Registration No. (Attorney/Agent)	36,764
Signature		Telephone	(650) 316-4011
		Date	May 4, 2001

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<b>REQUEST AND CERTIFICATION UNDER 35 U.S.C. 122(b)(2)(B)(i)</b>	First Named Inventor	CHAPMAN, William B.
	Title	METHOD AND APPARATUS FOR TUNING A LASER
	Atty Docket Number	NFC1P027

I hereby certify that the invention disclosed in the attached application **has not and will not** be the subject of an application filed in another country, or under a multilateral agreement, that requires publication at eighteen months after filing. I hereby request that the attached application not be published under 35 U.S.C. 122(b).

04-May-2001

Date



Signature

Charles C. Cary Reg. # 36,764

Typed or printed name

This request must be signed in compliance with 37 CFR 1.33(b) and submitted with the application **upon filing**.

Applicant may rescind this nonpublication request at any time. If applicant rescinds a request that an application not be published under 35 U.S.C. 122(b), the application will be scheduled for publication at eighteen months from the earliest claimed filing date for which a benefit is claimed.

If applicant subsequently files an application directed to the invention disclosed in the attached application in another country, or under a multilateral international agreement, that requires publication of applications eighteen months after filing, the applicant **must** notify the United States Patent and Trademark Office of such filing within forty-five (45) days after the date of the filing of such foreign or international application. **Failure to do so will result in abandonment of this application (35 U.S.C. 122(b)(2)(B)(iii)).**

**Burden Hour Statement:** This collection of information is required by 37 CFR 1.213(a). The information is used by the public to request that an application not be published under 35 U.S.C. 122(b) (and the PTO to process that request). Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This form is estimated to take 6 minutes to complete. This time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. **DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.**